

Receipt date: 04/16/2007

10575352 - GAU 1754 1736

ATTORNEY DOCKET NO.

11321-P077WOUS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Richard E. Smalley et al.

Serial No.: 10/575,352

Filing Date: October 14, 2004

Art Unit: Unknown

Examiner: Unknown

Title: *Amplification of Carbon Nanotubes Via Seeded Growth Methods*

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Applicant hereby submits the following references in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. Foreign references cited in the attached PTO/SB/08A are enclosed for the examiner's reference and copies of the references cited in the attached PTO/SB/08B are also enclosed. Furthermore, pursuant to 37 C.F.R. § 1.97(g) and (h), no representation is made that this is material to patentability of the present application or that a search has been made.

Applicant hereby submits that claims of Applicant's referenced patent application are patentably distinguishable from these references.

This Information Disclosure Statement is being filed within three (3) months of these references being cited in a communication from a foreign patent office in a corresponding foreign application.

/Daniel Mccracken/

12/05/2010

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Applicant does not believe that any fees are due at this time; however, the Director of Patents and Trademarks is hereby authorized to charge any fees relating to this Information Disclosure Statement under 37 CFR § 1.17 to Deposit Account No 23-2426 of WINSTEAD SECHREST & MINICK P.C. (referencing matter 11321-P077WOUS).

Respectfully submitted,



Date: 4/12/07

Robert C. Shaddox  
Regis. No. 34,011  
ATTORNEY FOR APPLICANT

WINSTEAD SECHREST & MINICK P.C.  
P.O. Box 50784  
Dallas, Texas 75201  
Phone: 713.650.2764  
Fax: 214.745.5390

### CERTIFICATE OF MAILING

I hereby certify that the attached *Information Disclosure Statement* and cited art are being deposited with the USPS, with sufficient postage as first class mail, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this the 12<sup>th</sup> day of April, 2007.

4/12/07  
Date

J. E. Mccracken  
Signature

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/Daniel Mccracken/

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10575352 - GAU: 1736

PTO/SB/08A (09-06)

Approved for use through 03/31/2007. OMB 0651-0031

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

|                        |                    |
|------------------------|--------------------|
| Application Number     | 10/575,352         |
| Filing Date            | October 14, 2004   |
| First Named Inventor   | Richard E. Smalley |
| Art Unit               | Unknown            |
| Examiner Name          | Unknown            |
| Attorney Docket Number | 11321-P077W0US     |

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|-------|---|----|---|
| Sheet | 1 | of | 2 |
|-------|---|----|---|

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS |                       |   |                  |   |   |                |
|--------------------------|-----------------------|---|------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T <sup>2</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | MM-DD-YYYY       |   |   |                |
|                          | 2                     | WO 03/084869  | 10/16/03         | Rice University                                 |   |                |
|                          |                       |   |                  |   |   |                |
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|                          |                       |   |                  |   |   |                |
|                          |                       |   |                  |   |   |                |

**Examiner  
Signature**

/Daniel Miccracken/

Date  
Considered

12/05/2010

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. (Daniel M. Neepke)

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/Daniel Mccracken/

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./

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| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |                        | <b>Complete if Known</b> |                    |
|  |                        | Application Number       | 10/575,352         |
|  |                        | Filing Date              | October 14, 2004   |
|  |                        | First Named Inventor     | Richard E. Smalley |
|  |                        | Art Unit                 | Unknown            |
|  |                        | Examiner Name            | Unknown            |
| Sheet 2 of 2   | Attorney Docket Number | 11321-P077WOUS           |                    |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 | 3                     | STRANO ET AL., "Electronic structure control of single-walled carbon nanotube functionalization", 301 Science (2003), pgs. 1519-1522  |                |
|                                 | 4                     | AN ET AL., "Synthesis of nearly uniform single-walled carbon nanotubes using identical metal-containing..", 124 J. Am. Chem. Soc. (2002), pgs. 13688-13689  |                |
|                                 | 5                     | International Preliminary Report on Patentability, (PCTY/US04/034002), dated January 17, 2007   |                |
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|--------------------|--------------------|-----------------|------------|
| Examiner Signature | /Daniel Mccracken/ | Date Considered | 12/05/2010 |
|--------------------|--------------------|-----------------|------------|

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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/Daniel Mccracken/

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